

PART B - FEE(S) TRANSMITTAL

Complete and send this form, together with applicable fee(s), to: **Mail Stop ISSUE FEE**
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INSTRUCTIONS: This form should be used for transmitting the ISSUE FEE and PUBLICATION FEE (if required). Blocks 1 through 5 should be completed where appropriate. All further correspondence including the Patent, advance orders and notification of maintenance fees will be mailed to the current correspondence address as indicated unless corrected below or directed otherwise in Block 1, by (a) specifying a new correspondence address; and/or (b) indicating a separate "FEE ADDRESS" for maintenance fee notifications.

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CUSTOMER NUMBER
22850



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I hereby certify that this Fee(s) Transmittal is being deposited with the United States Postal Service with sufficient postage for first class mail in an envelope addressed to the Mail Stop ISSUE FEE address above, or being facsimile transmitted to the USPTO (571) 273-2885, on the date indicated below.

| |
|--------------------|
| (Depositor's name) |
| (Signature) |
| (Date) |

| APPLICATION NO. | FILING DATE | FIRST NAMED INVENTOR | ATTORNEY DOCKET NO. | CONFIRMATION NO. |
|-----------------|-------------|----------------------|---------------------|------------------|
|-----------------|-------------|----------------------|---------------------|------------------|

10/729,983

12/09/2003

Hiroyuki Nagasawa

246309US40

2228

TITLE OF INVENTION: SEMICONDUCTOR AND SEMICONDUCTOR SUBSTRATE, METHOD OF MANUFACTURING THE SAME, AND SEMICONDUCTOR DEVICE

| APPLN. TYPE | SMALL ENTITY | ISSUE FEE DUE | PUBLICATION FEE DUE | PREV. PAID ISSUE FEE | TOTAL FEE(S) DUE | DATE DUE |
|-------------|--------------|---------------|---------------------|----------------------|------------------|----------|
|-------------|--------------|---------------|---------------------|----------------------|------------------|----------|

nonprovisional

NO

\$1400

\$300

\$0

\$1700

11/13/2006

| EXAMINER | ART UNIT | CLASS-SUBCLASS |
|----------|----------|----------------|
|----------|----------|----------------|

ANDUJAR, LEONARDO

2826

257-617000

1. Change of correspondence address or indication of "Fee Address" (37 CFR 1.563).

☐ Change of correspondence address (or Change of Correspondence Address form PTO/SB/122) attached.

☐ "Fee Address" indication (or "Fee Address" Indication form PTO/SB/47; Rev 03-02 or more recent) attached. Use of a Customer Number is required.

2. For printing on the patent front page, list

(1) the names of up to 3 registered patent attorneys or agents OR, alternatively,

(2) the name of a single firm (having as a member a registered attorney or agent) and the names of up to 2 registered patent attorneys or agents. If no name is listed, no name will be printed.

OBLON, SPIVAK,

1 McCLELLAND, MAIER

2 & NEUSTADT, P.C.

3

3. ASSIGNEE NAME AND RESIDENCE DATA TO BE PRINTED ON THE PATENT (print or type)

PLEASE NOTE: Unless an assignee is identified below, no assignee data will appear on the patent. If an assignee is identified below, the document has been filed for recordation as set forth in 37 CFR 1.11. Completion of this form is NOT a substitute for filing an assignment.

(A) NAME OF ASSIGNEE

Hoya Corporation

(B) RESIDENCE: (CITY and STATE OR COUNTRY)

Tokyo, JAPAN

01 FC:1501

02 FC:1504

11/13/2006 00000052 10729983

1400.00 0p

300.00 0p

Please check the appropriate assignee category or categories (will not be printed on the patent): ☐ Individual ☒ Corporation or other private group entity ☐ Government

4a. The following fee(s) are submitted:

☒ Issue Fee☒ Publication Fee (No small entity discount permitted)☐ Advance Order - # of Copies 0

4b. Payment of Fee(s): (Please first reapply any previously paid issue fee shown above)

☐ A check is enclosed.☒ Payment by credit card. Form PTO-2038 is attached.☒ The Director is hereby authorized to charge the required fee(s), any deficiency, or credit any overpayment, to Deposit Account Number 15-0030 (enclose an extra copy of this form).

5. Change in Entity Status (from status indicated above)

☐ a. Applicant claims SMALL ENTITY status. See 37 CFR 1.27.☐ b. Applicant is no longer claiming SMALL ENTITY status. See 37 CFR 1.27(g)(2).

NOTE: The Issue Fee and Publication Fee (if required) will not be accepted from anyone other than the applicant; a registered attorney or agent; or the assignee or other party in interest as shown by the records of the United States Patent and Trademark Office.

Authorized Signature

Fred L. Braun
 Fred L. Braun

Date

NOV 09 2006

Typed or printed name

Registration No.

Reg. No. 56,123

This collection of information is required by 37 CFR 1.311. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, Virginia 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, Virginia 22313-1450.

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OSMM&N File No. 246309US40

Dept.: E/M

By: RDK/AY/YO/mda

Serial No. 10/729,983

In the matter of the Application of: Hiroyuki NAGASAWA

For: SEMICONDUCTOR AND SEMICONDUCTOR SUBSTRATE, METHOD OF
MANUFACTURING THE SAME, AND SEMICONDUCTOR DEVICE

Due Date: N/A

The following has been received in the U.S. Patent Office on the date stamped hereon:

- ☐ Dep. Acct. Order Form
- ☐ Cover Letter
- ☐ Comments on Statement of Reasons for Allowance



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| Linked to OPTMS | |
| DATE | CASE |

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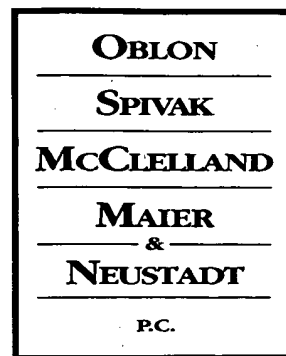
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Docket No.: 246309US40

COMMISSIONER FOR PATENTS
ALEXANDRIA, VIRGINIA 22313



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RE: Application Serial No.: 10/729,983
Applicants: Hiroyuki NAGASAWA
Filing Date: December 9, 2003
Allowed Date: August 10, 2006
For: SEMICONDUCTOR AND SEMICONDUCTOR
SUBSTRATE, METHOD OF MANUFACTURING
THE SAME, AND SEMICONDUCTOR DEVICE
Group Art Unit: 2826
Examiner: ANDUJAR, L

SIR:

Attached hereto for filing are the following papers:

Comments on Statement of Reasons for Allowance

Our credit card payment form in the amount of \$0.00 is attached covering any required fees. In the event any variance exists between the amount enclosed and the Patent Office charges for filing the above-noted documents, including any fees required under 37 C.F.R. 1.136 for any necessary Extension of Time to make the filing of the attached documents timely, please charge or credit the difference to our Deposit Account No. 15-0030. Further, if these papers are not considered timely filed, then a petition is hereby made under 37 C.F.R. 1.136 for the necessary extension of time. A duplicate copy of this sheet is enclosed.

Respectfully submitted,

OBLON, SPIVAK, McCLELLAND,
MAIER & NEUSTADT, P.C.

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22850

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| Linked to OPTMS | |
| DATE | CASE ID |

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DOCKET NO: 246309US40

IN THE UNITED STATES PATENT & TRADEMARK OFFICE

IN RE APPLICATION OF : ALLOWED: AUGUST 10, 2006
HIROYUKI NAGASAWA : EXAMINER: ANDUJAR, L
SERIAL NO: 10/729,983 :
FILED: DECEMBER 9, 2003 : GROUP ART UNIT: 2826
FOR: SEMICONDUCTOR AND :
SEMICONDUCTOR SUBSTRATE,
METHOD OF MANUFACTURING THE
SAME, AND SEMICONDUCTOR DEVICE

COMMENTS ON STATEMENT OF REASONS FOR ALLOWANCE

COMMISSIONER FOR PATENTS
ALEXANDRIA, VIRGINIA 22313

SIR:

In response to the Notice of Allowability dated August 10, 2006, Applicant respectfully submits comments on the statement of reasons for allowance regarding the above-identified application.

The statement of reasons for allowance provided at page 2, item 3 of the Notice of Allowability indicates that "the prior art shows some aspect of the instant invention but does not suggest ... a transition region ... having a thickness of 5 micrometers or less and a gradient defect density of $4 \times 10^9/\text{cm}^3$ (claims 7, 14 and 27)."

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| Linked to OPTMS | |
| DATE | CASE ID |

Application No. 10/729,983
Reply to Notice of Allowance dated August 10, 2006
Comments on Statement of Reasons for Allowance

However, it is respectfully submitted that Claims 7, 14 and 27 recite that "a transition region ... having a thickness of 5 μm or less and a *gradient of defect density of $4 \times 10^9/\text{cm}^3$ or more*" (emphasis added in italic).

Respectfully submitted,

OBLON, SPIVAK, McCLELLAND,
MAIER & NEUSTADT, P.C.

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